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语篇中回指的功能

Functions of Anaphora in Text

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Abstract

This dissertation studies the functions of anaphora in text from a functional-cognitive perspective.

The functional-cognitive approach is proposed as a method that can be applied to the present research. This approach is based on both the functionalist framework and cognitive linguistics. It incorporates the functional and cognitive perspectives so that the two perspectives can be complementary and compatible with each other in the study of anaphora. With the functional-cognitive approach, this dissertation proposes a theoretical framework of anaphora. The proposed framework consists of three major functions of anaphora: textual function, interpersonal function and cognitive function.

The textual function of anaphora is explored from the lexical, grammatical, semantic and textual levels. At the lexical level, anaphora is featured by the properties of definiteness and lexical congruence. Definiteness helps construe the foundation of identification, and lexical congruence contributes to the identification of anaphora. Differences in the degree of both definiteness and lexical congruence may affect the density of anaphoric information and anaphora tracking. The finding reveals the role of lexical congruence in anaphora production.

At the grammatical level, the textual function of anaphora is investigated from the aspects of grammatical relations and immediacy principle. Grammatical relations relating to clausal process types and the types of anaphora as participants can help account for the subject-object switch of anaphora. The immediacy principle governing anaphora at the grammatical level can account for the specific cases of anaphora tracking. The analysis shows that the perspective of grammatical relations provides a clausal strategy for the interpretation of anaphora at the grammatical level.

At the semantic level, anaphora is featured by both the connectivity and increment of anaphoric information. Connectivity of anaphoric information

guarantees the stability of anaphoric information in textual progression. Increment of anaphoric information contributes to the flow of textual information through different shades of semantic meanings encoded in different anaphoric forms.

At the textual level, the role of anaphora is explored from the topical and cohesive relations that anaphora realizes in text. Topicality of anaphora is crucial to anaphora's realization of topical relations, and continuity of anaphora influences topical continuity. Anaphora's realization of cohesive relations is reflected from the ways it forms cohesive chains. The analysis reveals that anaphora plays an indispensable role in the creation of texture through weaving textual relations.

The interpersonal function of anaphora is explored from the writer-society and writer-reader relationships. Through such anaphora devices as repetitive first-person pronouns, objectivation of subject, switch of reference point and antecedent embedment, the writer constructs his relationship with the society and conveys his underlying attitude and viewpoint. The writer-reader relationship involves the writer's seeking common ground with the reader through anaphora. Anaphora devices used by the writer in seeking common ground with the reader show addresser-exclusive and addressee-inclusive features. By different anaphora devices, the writer seeks from the reader shared beliefs and attitudes, agreement, sympathy and support.

The cognitive function of anaphora is explored from the perspective of reader-text relationship. The reader uses three cognitive strategies in anaphora retrieval: frame-based integration of anaphoric information, context-constrained inference, and memory-related retrieval of anaphoric information. Investigation of the cognitive function of anaphora reveals that to achieve the maximal communicative effect, the anaphora tracking process on the part of the reader should be in agreement with the anaphora production process on the part of the writer to the largest degree.

To testify the theoretical explorations of the three functions of anaphora, an applicational research is conducted on the distribution of anaphora in three sample

texts. A comparative study of the findings in the three sample texts testifies some features discussed in the three functions of anaphora.

Based on theoretical explorations and applicational research, this dissertation draws the conclusion that anaphora constitutes a system of three functions – textual function, interpersonal function and cognitive function. These three functions render anaphora as a network of relations, and anaphora is both the means of realizing experience into textuality and the end in which the construction of experience and textuality can be revealed. The present research has implications for anaphora study, methodology, textual analysis and educational linguistics.

Key Words: Anaphora; Functional-cognitive; Text

摘要

本论文从功能-认知角度对语篇中的回指进行了研究。

论文研究采用了功能-认知方法。这一方法同时基于功能语言学和认知语言学的理论框架，融合功能和认知两种角度，使这两种角度在回指研究中得到了互补和兼容。通过功能-认知研究方法，论文提出回指研究的理论框架。该理论框架由回指的三种主要功能组成：语篇功能，人际功能和认知功能。

回指的语篇功能从词汇、语法、语义和语篇四个层次进行了探讨。在词汇层面上，回指表现为限定性和词汇相似性两个特点。限定性有助于构建回指辨认的基础，而词汇相似性则有助于回指确认。限定性和词汇相似性在程度上的差异影响了回指信息的密度，从而进一步影响了回指确认。研究揭示了词汇相似性在回指生成过程中的作用。

在语法层上，对回指语篇功能从语法关系和临近原则两方面进行了研究。与小句过程类型和作为参与者的回指类型相关的语法关系可说明回指在主语和宾语位置之间进行的转换。在语法层上对回指构成限制的临近原则可解释回指确认中的特殊情形。分析表明，语法关系为语法层上的回指提供了从小句角度进行理论阐释的策略。

在语义层上，回指同时表现为回指信息的连接和增加两种特点。回指信息的连接保证了回指语义信息在语篇推进中的稳定性。回指信息的增加则通过因不同回指形式而造成的语义微小差异而增进和强化了语篇信息流。

在语篇层上，回指的作用从回指在语篇中所实现的关系——主题关系和衔接关系——进行了探讨。回指的主题性是回指实现主题关系的关键，而回指连续性则影响了主题连续性。回指对衔接关系的实现可从回指形成衔接链的方式得以反映。分析表明，通过编织语篇关系，回指在创建语篇织体方面起到不可或缺的作用。

回指的人际功能从作者-社会和作者-读者关系进行了探讨。通过回指手段，如重复性的第一人称代词，主语宾语化，指称点的转换和先行词嵌入，作者构建了与社会的关系并传达出隐含的态度和观点。作者-读者关系表现于作者通过

运用回指寻求与读者的共同基础。在这一过程中，作者所使用的回指手段具有排除说话方和包括受话方的特点。通过不同的回指手段，作者寻求到与读者共通的信仰，态度，一致性，思想的赞同和支持。

回指的认知功能从读者-文本关系进行了探讨。在回指确认中，读者使用了三种认知策略：基于框架的回指信息整合，受语境限制的回指信息推理，与记忆相关的回指信息确认。对回指认知功能的探讨表明，为达到最大化交际效果，读者的回指确认过程应与作者的回指生成过程最大程度上相一致。

为验证回指三种功能的理论阐释，对回指在三篇样文中的分布进行了对比分析。通过对统计结果的对比，回指三种功能所涉及到的部分特征得到了验证。

通过理论探讨和应用研究，本论文得出结论：语篇中的回指是由语篇功能，人际功能和认知功能构成的系统。这三种功能使回指成为关系的网络，回指既是将经验实现为语篇性的手段，也是经验和语篇性的构建得以显现的目的。本研究具有理论和应用两方面价值。研究结果可用于回指理论探讨，回指研究方法，语篇分析和教育语言学领域。

关键词： 回指；功能-认知； 语篇

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